

Sheet 1 of 1

FORM PTO-1449 (REV. 7-80)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 500.43322X00	SERIAL NO. 10/729,925
LIST OF DOCUMENTS CITED BY APPLICANT (Use several sheets if necessary)		APPLICANT A. SHIMADA et al	
		FILING DATE December 9, 2003	
		GROUP	

## U.S. PATENT DOCUMENTS

* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)
AA	5,657,470	08/12/97	Fisherman et al			
AB	6,275,824	08/14/01	O'Flaherty et al			
AC	6,275,825	08/14/01	Kobayashi et al			
AD	6,502,193	12/31/02	Barber			
AE	2002/ 0099837	07/25/02	Oe et al			
AF	2003/ 0023868	01/30/02	Parent			
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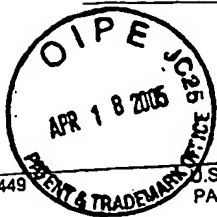
## FOREIGN PATENT DOCUMENTS

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AN						<input type="checkbox"/>	<input type="checkbox"/>
AO						<input type="checkbox"/>	<input type="checkbox"/>
AP						<input type="checkbox"/>	<input type="checkbox"/>

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

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PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.  
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APPLICANT  
A. SHIMADA et al  
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SERIAL NO.  
10/729,925

**U.S. PATENT DOCUMENTS**

* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)
JS	AA 6,665,786	12/16/03	McMichael et al			
JS	AB 6,728,836	04/27/04	Lambright et al			
JS	AC 6,772,287	08/03/04	Uchiyama et al			
JS	AD 6,851,022	02/01/05	Ikeuchi et al			
JS	AE 2002/ 0016812	02/07/02	Uchishiba et al			
JS	AF 2002/ 0107810	08/08/02	Nishio et al			
JS	AG 2002/ 0124040	09/05/02	Foster et al			
JS	AH 2003/ 0014600	01/16/03	Ito et al			
JS	AI 2003/ 0055933	03/20/03	Ishizaki et al			
JS	AJ 2003/ 0097393	05/22/03	Kawamoto et al			
JS	AK 2004/ 0010563	01/15/04	Forte et al			

**FOREIGN PATENT DOCUMENTS**

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JS	AL 5-128002	05/25/93	JP (with English Abstract)			<input type="checkbox"/>	<input type="checkbox"/>
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	AO					<input type="checkbox"/>	<input type="checkbox"/>
	AP					<input type="checkbox"/>	<input type="checkbox"/>

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)**

JS	AR	"Freedom Storage Lightning 990 V Series", User and Reference Guide, Hitachi Data Systems Corp., 2002, pp. iii-124.
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<b>U.S. PATENT DOCUMENTS</b>							
* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)	
AA	5,568,629	10/22/96	Gentry et al				
AB	5,829,053	10/27/98	Smith et al				
AC	2003/ 0084241	05/01/03	Lubbers et al				
AD	2003/ 0182501	09/25/03	George et al				
AE	2005/ 0010722	01/13/05	Chih-Wei Chen				
AF	6,275,898	08/14/01	DeKoning				
AG	6,289,398	09/11/01	Stallmo et al				
AH	6,425,049	07/23/02	Yamamoto et al				
AI	6,507,905	01/14/03	Hubacher et al				
AJ	6,519,679	02/11/03	Devireddy et al				
AK	2003/ 0015434	06/19/03	Mahalingham et al				
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**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)
AD	AA 2004/ 049564	03/11/04	Ng et al			
AS	AB 2004/ 0111596	06/10/04	Freeman Leigh Rawson, III			
SA	AC 2005/ 0015546	01/20/05	Zohar et al			
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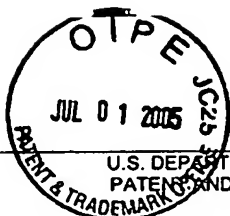
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A. SHIMADA et alFILING DATE  
December 9, 2003GROUP  
2171**U.S. PATENT DOCUMENTS**

* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)
JS	AA 6,148,368	11/14/00	DeKoning			
JS	AB 6,341,331	01/22/02	McNutt			
JS	AC 6,347,358	02/12/02	Kuwata			
JS	AD 2003/ 0196055	10/16/03	Kamano et al			
JS	AE 2004/ 0111557	06/10/04	Nakatani et al			
JS	AF 2004/ 0139168	07/15/04	Tanaka et al			
JS	AG 2004/ 0193803	09/30/04	Mogi et al			
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**U.S. PATENT DOCUMENTS**

* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)
JS	AA 2001/ 0047482	11/29/01	Harris et al			
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	AC					
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	AE					
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**FOREIGN PATENT DOCUMENTS**

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	AP					<input type="checkbox"/>	<input type="checkbox"/>

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, etc.)

JS	AR	Buck, A.L. et al, "The Storage Server as Virtual Volume Manager", IEEE Comput. Soc., April 1993, USA 26-29, pp. 79-86.
JS	AS	Gelb, J.P., "System-Managed Storage", IBM Systems Journal, Vol. 28, No. 1, Jan. 1989, pp. 77-103.
JS	AT	Kaczmariski, M. et al, "Beyond Backup Toward Storage Management", IBM Systems Journal, Vol. 42, No. 2, 2003, pp. 322-337.

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INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
SD	6 5 0 2 1 6 2	12/02	Blumenau et al			
SD	6 7 1 5 0 3 1	3/04	Camble et al			
SD	2 0 0 9 5 6 0 2	7/02	Pherson et al			
SD	2 0 1 0 3 9 1 3	8/02	Tawil et al			
SD	2 0 1 0 4 0 0 8	8/02	Cochran et al			
SD	2 0 0 5 5 9 7 2	3/03	Fuller et al			
SD	2 0 1 1 5 4 4 7	6/03	Pham et al			
SD	2 0 0 6 4 7 2 9	4/04	Yelledpeddy			

## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	ABSTRACT
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## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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(Form PTO-1449 [6-4])



Sheet 1 of 1

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JS	AA	2001/ 0047487	11/29/01	Harris et al			
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JS	AR	Buck, A.L. et al, "The Storage Server as Virtual Volume Manager",
		IEEE Comput. Soc., April 1993, USA 26-29, pp. 79-86.
JS	AS	Gelb, J.P., "System-Managed Storage", IBM Systems Journal,
		Vol. 28, No. 1, Jan. 1989, pp. 77-103.
JS	AT	Kaczmariski, M. et al, "Beyond Backup Toward Storage Management",
		IBM Systems Journal, Vol. 42, No. 2, 2003, pp. 322-337.

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W1283-01

INFORMATION UNDER 37 CFR 1.56(a)

(For Initial Filing)

The following references are submitted as information  
to comply with the duty of disclosure under 37 CFR 1.56(a):

References	Disclosed in the specification?		Copy			Translation	
	Yes	No	Enc.	Follow	Not-enc.	Enc.	Not available
1. JP-A-2002-149599		<input type="radio"/>	<input type="radio"/>			<input type="radio"/> (only abstract)	
2. US 2002/0107810 A1 (corresponding to JP-A-2002-230189)		<input type="radio"/>	<input type="radio"/>				
3. US 2003/0014600 A1 (corresponding to JP-A-2003-30053)		<input type="radio"/>	<input type="radio"/>				
4.							
5.							

Concise explanation (relevant portions)

See soon

8/3/05